

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

204530US0PCT

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/787413

INTERNATIONAL APPLICATION NO.
PCT/EP99/07229

INTERNATIONAL FILING DATE
29 September 1999

PRIORITY DATE CLAIMED
30 September 1998

TITLE OF INVENTION

DYE-CONTAINING POLYMER PARTICLES

APPLICANT(S) FOR DO/EO/US

Helmut AUWETER, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Request for Consideration of Documents Cited in International Search Report

Notice of Priority

PCT/IB/304

PCT/IB/308

PCT/EP99/07229

204530US0PCT

CALCULATIONS PTO USE ONLY

- | | |
|--|-------------------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO | \$1,000.00 |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | \$860.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$710.00 |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) | \$690.00 |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) | \$100.00 |

\$860.00

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	5 - 20 =	0	x \$18.00	\$0.00
Independent claims	1 - 3 =	0	x \$80.00	\$0.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	\$0.00

Multiple Dependent Claims (check if applicable).

TOTAL OF ABOVE CALCULATIONS

\$860.00

\$0.00

SUBTOTAL =

\$860.00

\$0.00

TOTAL NATIONAL FEE

\$860.00

\$0.00

TOTAL FEES ENCLOSED

\$860.00

Amount to be: refunded	\$
charged	\$

- ☒ A check in the amount of **\$860.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **15-0030** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:



Surinder Sachar
Registration No. 34,423

SIGNATURE

Norman F. Oblon

NAME _____

24,618

REGISTRATION NUMBER

DATE March 22 2001

DOCKET NO. 204530US0PCT

IN RE APPLICATION OF: Helmut AUWETER, et al.

SERIAL NO.: New U.S. PCT Application (Based on PCT/EP99/07229)

FILED: HEREWITH

FOR: DYE-CONTAINING POLYMER PARTICLES

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

- ☒ No additional fee is required.
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement previously submitted.
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement submitted herewith.
- ☒ Additional documents filed herewith: PCT Transmittal Letter/Notice of Priority
English Translation of Specification/Request for Consideration/PCT/IB/304/Declaration/PCT/IB/308
Preliminary Amendment/International Search Report/Check for \$860.00

The fee has been calculated as shown below.

(Col. 1)		(Col. 2)		(Col. 3)	SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	CLAIMS REMAINING AFTER		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE	RATE	ADDITIONAL FEE
TOTAL	* 5	MINUS	** 20	= 0	X9 =	\$	X18 =	\$.00
INDEP	* 1	MINUS	*** 3	= 0	X40 =	\$	X80 =	\$.00
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM					+135=	\$	+270=	\$
TOTAL						\$	TOTAL	\$.00

A check in the amount of \$_____ is attached.

- XX Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith; or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- XX If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.



22850

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

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(703) 413-3000

*If the entry in Column 2 is less than the entry in Column 1 write "0" in Column 3.
**If the "Highest Number Previously paid for" IN THIS SPACE is less than 20 write "20" in this space.
***If the "Highest Number Previously paid for" IN THIS SPACE is less than 3 write "3" in this space.7/93